



IAP7 Rec'd PCT/PTO 18 AUG 2006

PG

PATENT  
Attorney Docket No. BKP-024

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Beliveau et al. CONFIRMATION NO.: 8132  
SERIAL NO.: 10/541,304 GROUP NO.: 1615  
FILING DATE: July 1, 2005 EXAMINER: Not yet assigned  
TITLE: A Method for Transporting a Compound Across the Blood-Brain Barrier

**CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8**

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 16<sup>th</sup> day of August, 2006.

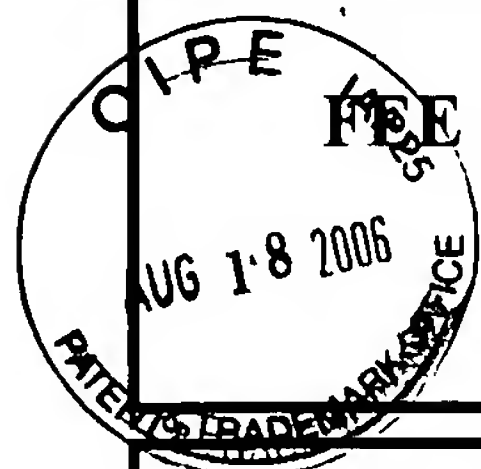
  
Lori Calnan

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Submitted herewith is/are:

- Transmittal Form (1 pg.);
- Fee Transmittal Form (1 pg.);
- Request for Corrected Filing Receipt (1 pg.);
- Copy of Filing Receipt with changes marked in red (3 pgs.);
- Copy of Application Data Sheet (3 pgs.);
- Copy of Notification of Insufficient Fees (2 pgs.);
- Check in the amount of \$330.00;
- Certificate of First Class Mailing (1 pg.); and
- Return Receipt Postcard.



**FEE TRANSMITTAL**  
FY 2006

Complete if Known

Application Serial Number	10/541,304
Filing Date	July 1, 2005
First Named Inventor	Beliveau
Group Art Unit	1615
Examiner Name	Not yet assigned
Attorney Docket No.	BKP-024

**METHOD OF PAYMENT**

1. ☒ Payment Enclosed:  
☒ Check ☐ Money Order ☐ Other

2. ☒ The Commissioner is hereby authorized to credit or charge any fee indicated below for this submission to Deposit Account No. 50-1721.  
☐ Required Fees (copy of this sheet enclosed).  
☒ Additional fee required under 37 CFR 1.16 and 1.17.  
☒ Overpayment Credit.

3. ☐ Applicant claims small entity status.

**FEE CALCULATION**

**1. FILING/SEARCH/EXAM/SIZE FEES**

**Large Entity**

Fee (\$)	Fee Description	Fee Paid
300	Utility filing fee	
500	Utility search fee	
200	Utility exam fee	
250	Utility size fee (each add'l 50 pgs. over 100)	
200	Design filing fee	
100	Design search fee	
130	Design exam fee	
250	Design size fee (each add'l 50 pgs. over 100)	

	Number Filed	Number Extra	Rate	Amount
Total Claims	- 20 =		x \$ 50.00 =	
Independent Claims	4	- 3 = <u>1</u>	x \$200.00 =	200.00

☐ Multiple Dependent Claim(s), if any \$360.00 =  
TOTAL:

SMALL ENTITY DISCOUNT:

**SUBTOTAL (1)** (\$) 200.00

**2. AMENDMENT CLAIM FEES**

Claims Remaining After Amend.	Highest No. Previously Paid For	Present Extra	Rate	Fee Paid
Total	-	=	x \$ 50.00 =	
Indep.	-	=	x \$200.00 =	
<input type="checkbox"/> First Presentation of Multiple Dep. Claim			+ \$360.00 =	

TOTAL: (\$)

SMALL ENTITY DISCOUNT: (\$)

**SUBTOTAL (2)** (\$)0.00

**FEE CALCULATION (continued)**

**3. ADDITIONAL FEES**

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	130.00
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	Request for ex parte reexamination	
120	60	Extension for reply within first month	
450	225	Extension for reply within second month	
1020	510	Extension for reply within third month	
1590	795	Extension for reply within fourth month	
2160	1080	Extension for reply within fifth month	
500	250	Notice of Appeal	
500	250	Filing a brief in support of an appeal	
1000	500	Request for oral hearing	
400	400	Petitions to the Commissioner (Gp. I)	
200	200	Petitions to the Commissioner (Gp. II)	
130	130	Petitions to the Commissioner (Gp. III)	
180	180	Submission of Information Disclosure Statement	
790	395	Filing a submission after final rejection (37 CFR 1.129(a))	
790	395	For each additional invention to be examined (37 CFR 1.129(b))	
100	100	Certificate of Correction for applicant's error	
130	65	Submission of Terminal Disclaimer	
Other fee (Specify)			
Other fee (Specify)			

**SUBTOTAL (3)** (\$) 130.00

**SUBTOTAL (1)** 200.00

**SUBTOTAL (2)** 0.00

**SUBTOTAL (3)** 130.00

**TOTAL** (\$) 330.00

**CORRESPONDENCE ADDRESS**

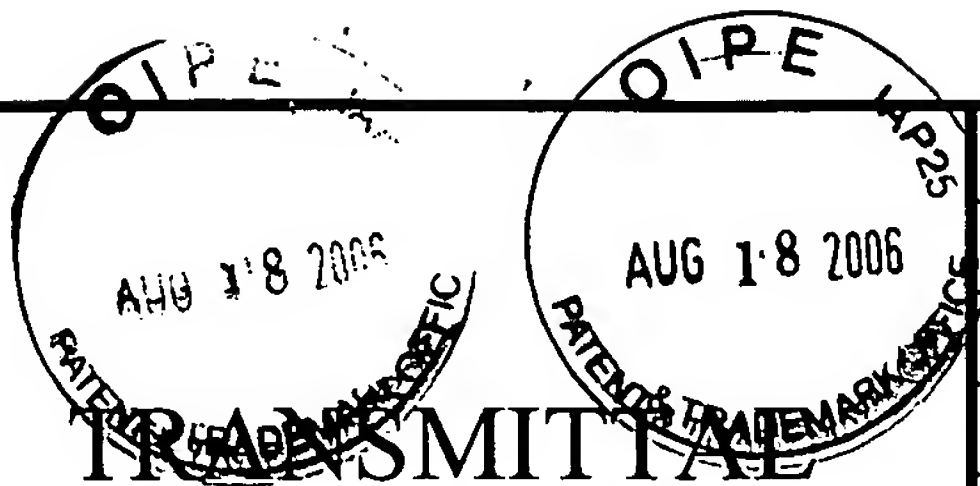
Direct all correspondence to:

Patent Administrator  
Kirkpatrick & Lockhart Nicholson  
Graham LLP  
State Street Financial Center  
One Lincoln Street  
Boston, MA 02111-2950  
Tel. No.: (617) 261-3100  
Fax No.: (617) 261-3175

**SIGNATURE BLOCK**

Date: August 16, 2006  
Reg. No.: 58,343  
Tel. No.: (617) 261-3216  
Fax No.: (617) 261-3175

Respectfully submitted,  
*Karen A. Schouten*  
Karen A. Schouten  
Attorney for the Applicants  
Kirkpatrick & Lockhart Nicholson  
Graham LLP  
State Street Financial Center  
One Lincoln Street  
Boston, MA 02111-2950



# TRANSMITTAL FORM

Application Serial Number	10/541,304
Filing Date	July 1, 2005
First Named Inventor	Beliveau
Group Art Unit	1615
Examiner Name	Not yet assigned
Attorney Docket No.	BKP-024
Patent No.	Not applicable
Issue Date	Not applicable

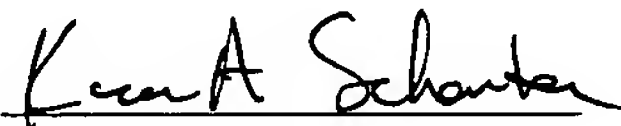
## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form  <input checked="" type="checkbox"/> Check Attached <input type="checkbox"/> Copy of Fee Transmittal Form  <input type="checkbox"/> Amendment/Response  <input type="checkbox"/> Preliminary <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets ____]  <input type="checkbox"/> Petition for Extension of Time  <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Form PTO-1449 <input type="checkbox"/> Copies of IDS Citations  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Sequence Listing submission <input type="checkbox"/> Paper Copy/CD <input type="checkbox"/> Computer Readable Copy <input type="checkbox"/> Statement verifying identity of above	<input type="checkbox"/> Copy of Notice to File Missing Parts of Application  <input type="checkbox"/> Formal Drawing(s)  <input type="checkbox"/> Request For Continued Examination (RCE) Transmittal  <input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application  <input type="checkbox"/> Small Entity Statement  <input type="checkbox"/> CD(s) for large table or computer program  <input type="checkbox"/> Amendment After Allowance  <input type="checkbox"/> Request for Certificate of Correction <input type="checkbox"/> Certificate of Correction (in duplicate)	<input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences  <input type="checkbox"/> Appeal Brief (in triplicate)  <input type="checkbox"/> Status Inquiry  <input checked="" type="checkbox"/> Return Receipt Postcard  <input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8  <input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8  <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below)  <input checked="" type="checkbox"/> Request for Corrected Filing Receipt (1 pg.)  <input checked="" type="checkbox"/> Copy of Filing Receipt with changes marked in red (3 pgs.)  <input checked="" type="checkbox"/> Copy of Application Data Sheet (3 pgs.)  <input checked="" type="checkbox"/> Copy of Notification of Insufficient Fees (2 pgs.)
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## CORRESPONDENCE ADDRESS

Direct all correspondence to: Patent Administrator  
Kirkpatrick & Lockhart Nicholson  
Graham LLP  
State Street Financial Center  
One Lincoln Street  
Boston, MA 02111-2950  
Tel. No.: (617) 261-3100  
Fax No.: (617) 261-3175

## SIGNATURE BLOCK

Respectfully submitted,  
  
  
Karen A. Schouten  
Attorney for Applicant(s)  
Kirkpatrick & Lockhart Nicholson  
Graham LLP  
State Street Financial Center  
One Lincoln Street  
Boston, MA 02111-2950

Date: August 16, 2006  
Reg. No. 58,343  
Tel. No.: (617) 261-3216  
Fax No.: (617) 261-3175



PATENT  
Attorney Docket No. BKP-024

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT(S): Beliveau et al. CONFIRMATION NO.: 8132  
SERIAL NO.: 10/541,304 GROUP NO.: 1615  
FILED: July 1, 2005 EXAMINER: Not yet assigned  
TITLE: A Method for Transporting a Compound Across the Blood-  
Brain Barrier

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**REQUEST FOR CORRECTED FILING RECEIPT**

1. Attached is a marked-up copy of the official filing receipt received from the Patent Office for the above-identified application for which issuance of a corrected filing receipt is respectfully requested.
2. Also attached is a copy of the Application Data Sheet, originally filed with the Patent Office on July 1, 2005 for the above-identified application which provides the omitted data for which issuance of a corrected filing receipt is respectfully requested.
3. There is an error with respect to the following data, which is:

☒ omitted

***Error In***

***Correct Data***

- |   |  |
|---|--|
| 1. <input checked="" type="checkbox"/> Applicant's name             | 1. Michel Demeule  |
| 2. <input checked="" type="checkbox"/> Applicant Beliveau's address | 2. Montreal, Quebec, Canada                                  |
| 3. <input checked="" type="checkbox"/> Applicant Demeule's address  | 3. Longueuil, Quebec, Canada                                 |
| 4. <input checked="" type="checkbox"/> Domestic Priority            | 4. This appln claims the benefit of<br>60/437,986 01/06/2003 |

08/22/2006 MKAYPAGH 00000095 10541304

01 FC:1617  
02 FC:1614

130.00 DP  
200.00 DP

Date: August 16, 2006  
Reg. No. 58,343

Tel. No.: (617) 261-3216  
Fax No.: (617) 261-3175

Respectfully submitted,

Karen A. Schouten  
Karen A. Schouten  
Attorney for Applicant(s)  
Kirkpatrick & Lockhart Nicholson  
Graham LLP  
State Street Financial Center  
One Lincoln Street  
Boston, Massachusetts 02111-2950



COPY

## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/541,304	07/01/2005	1615	300	BKP-024	2	10	4

CONFIRMATION NO. 8132

22832  
 KIRKPATRICK & LOCKHART NICHOLSON GRAHAM LLP  
 STATE STREET FINANCIAL CENTER  
 ONE LINCOLN STREET  
 BOSTON, MA 02111-2950

## FILING RECEIPT



\*OC000000018086898\*

Date Mailed: 08/04/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Richard Beliveau, ~~Residence Not Provided~~; Montreal, Quebec, Canada;  
 Michel Demeule, Longueuil, Quebec, Canada;

Power of Attorney: The patent practitioners associated with Customer Number 22832.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/CA04/00011 01/05/2004  
 This appln claims benefit of 60/437,986 01/06/2003

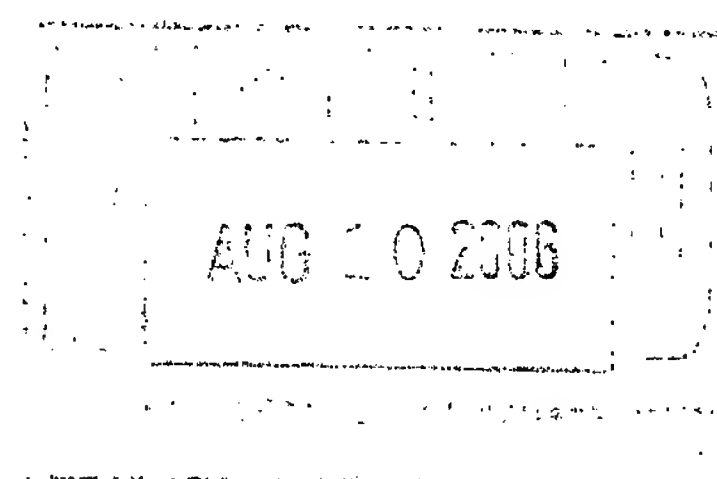
## Foreign Applications

~~CHINA 03114718.6 01/03/2003~~

Projected Publication Date: 08/17/2006

Non-Publication Request: No

Early Publication Request: No



## Title

Method for transporting a compound across the blood-brain barrier

## Preliminary Class

514

## PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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### LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15

#### **GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations

especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



COPY

**APPLICATION DATA SHEET**

**Application Information**

Application Number::

Filing Date::

Application Type:: Regular

Subject Matter:: Utility

CD-ROM or CD-R?:: No

Number of CD Disks::

Number of Copies of CDs::

Sequence Submission?:: No

Computer Readable Form (CRF)?:: No

Number of Copies of CRF::

Title:: A Method for Transporting a Compound  
Across the Blood-Brain Barrier

Attorney Docket Number:: BKP-024

Request for Early Publication?:: No

Request for Non-Publication?:: No

Suggested Drawing Figure::

Total Drawing Sheets::

Small Entity?:: No

Licensed US Govt. Agency:: No

Contract or Grant Numbers::

Secrecy Order in Parent Appl.?:: No

**Applicant Information**

Applicant Authority Type:: Inventor

Primary Citizenship Country:: Canada

Status:: Full Capacity

Given Name:: Richard

Middle Name::

Family Name:: Béliveau

Name Suffix::

City of Residence:: Montréal

State or Province of Residence:: Quebec

Country of Residence:: Canada

Street of Mailing Address:: 266 Wilson

City of Mailing Address:: Montréal

State or Province of Mailing Address:: Quebec

Country of Mailing Address:: Canada

Postal or Zip Code of Mailing Address:: H3E 1L8

Applicant Authority Type:: Inventor

Primary Citizenship Country:: Canada

Status:: Full Capacity

Given Name:: Michel

Middle Name::

Family Name:: Demeule

Name Suffix::

City of Residence:: Longueuil

State or Province of Residence:: Quebec

Country of Residence:: Canada

Street of Mailing Address:: 3557 Archambault

City of Mailing Address:: Longueuil

State or Province of Mailing Address:: Quebec

Country of Mailing Address:: Canada

Postal or Zip Code of Mailing Address:: J4M 2W8

### **Correspondence Information**

Correspondence Customer Number:: 022832

### **Representative Information**

Representative Customer Number:: 022832

**Domestic Priority Information**

Application::	Continuity Type::	Parent Application::	Parent Filing Date::
This application	National Stage of	PCT/CA04/000011	01/05/04
PCT/CA04/000011	An application claiming the benefit under 35 USC 119(e)	60/437,986	01/06/03

**Foreign Priority Information**

Country::	Application Number::	Filing Date::	Priority Claimed::

**Assignee Information**

Assignee Name:: Angiochem Inc.  
City of Mailing Address:: Laval  
State or Province of Mailing Address:: Quebec  
Country of Mailing Address:: Canada

**COPY**

## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

U.S. APPLICATION NUMBER NO.

10/541,304

FIRST NAMED APPLICANT

Richard Beliveau

ATTY. DOCKET NO.

BKP-024

INTERNATIONAL APPLICATION NO.

PCT/CA04/00011

I.A. FILING DATE

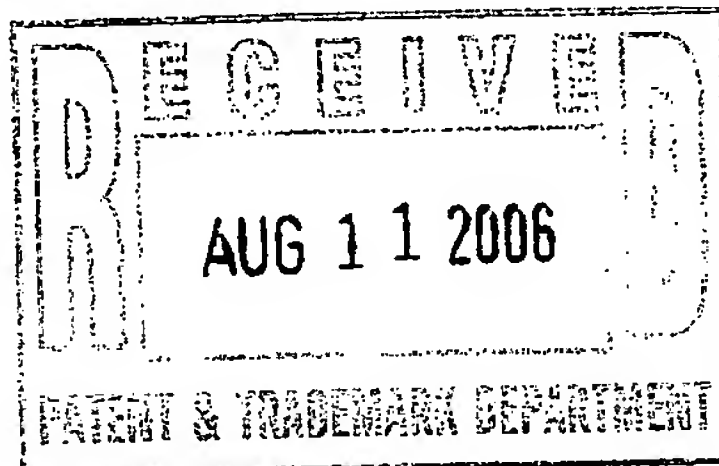
01/05/2004

PRIORITY DATE

01/03/2003

22832

KIRKPATRICK & LOCKHART NICHOLSON GRAHAM LLP  
 STATE STREET FINANCIAL CENTER  
 ONE LINCOLN STREET  
 BOSTON, MA 02111-2950



CONFIRMATION NO. 8132

371 FORMALITIES LETTER



\*OC000000018086899\*

Date Mailed: 08/04/2006

**Notification of Insufficient Fees (DO/EO/US)**

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 07/01/2005
- English Translation of the IA filed on 07/01/2005
- Copy of the International Search Report filed on 07/01/2005
- Copy of IPE Report filed on 07/01/2005
- Information Disclosure Statements filed on 07/01/2005
- Oath or Declaration filed on 07/01/2005
- Biochemical Sequence Listing filed on 07/01/2005
- Request for Immediate Examination filed on 07/01/2005
- Copy of references cited in ISR filed on 07/01/2005
- U.S. Basic National Fees filed on 07/01/2005
- Assignment filed on 07/01/2005
- Priority Documents filed on 07/01/2005

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Additional claim fees of **\$200** as a non-small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

**SUMMARY OF FEES DUE:**

Total additional fees required for this application is **\$330** for a Large Entity:

- \$130 Surcharge.
- Total additional claim fee(s) for this application is \$ 200
  - \$200 for 1 independent claims over 3.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

MAMIE P PERSON

Telephone: (703) 308-9140 EXT 227

**PART 1 - ATTORNEY/APPLICANT COPY**

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/541,304	PCT/CA04/00011	BKP-024

FORM PCT/DO/EO/923 (371 Formalities Notice)